



Department of Defense DIRECTIVE

NUMBER 5134.3

November 3, 2003

DA&M

SUBJECT: Director of Defense Research and Engineering (DDR&E)

- References:
- (a) Sections 137 and 113 of title 10, United States Code
 - (b) DoD Directive 5134.3, "Director of Defense Research and Engineering (DDR&E)," August 31, 1994 (hereby canceled)
 - (c) DoD 7000.14-R, "DoD Financial Management Regulation," Volume 2, "Budget Formulation and Presentation," July 1996
 - (d) [DoD Instruction 5000.2](#), "Operation of the Defense Acquisition System," May 12, 2003
 - (e) through (g), see enclosure 1

1. REISSUANCE AND PURPOSE

Pursuant to section 137 of reference (a) and the authorities vested in the Secretary of Defense by section 113 of reference (a), this Directive reissues reference (b) to update the responsibilities, functions, relationships, and authorities of the Director of Defense Research and Engineering (DDR&E).

2. APPLICABILITY

This Directive applies to the Office of the Secretary of Defense, the Military Departments, the Chairman of the Joint Chiefs of Staff, the Combatant Commands, the Office of the Inspector General of the Department of Defense, the Defense Agencies, the DoD Field Activities, and all other organizational entities in the Department of Defense (hereafter referred to collectively as "the DoD Components").

3. DEFINITION

Research and Engineering. Research and Engineering (R&E) includes Science and Technology programs (consisting of Basic Research, Applied Research, and Advanced Technology Development) and Advanced Component Development and Prototypes programs, which are identified as Budget Activities 1, 2, 3, and 4, respectively, in reference (c).

4. RESPONSIBILITIES AND FUNCTIONS

The DDR&E is the principal staff advisor to the Under Secretary of Defense for Acquisition, Technology, and Logistics (USD(AT&L)) and the Secretary and Deputy Secretary of Defense for research and engineering matters. In this capacity, the DDR&E shall:

- 4.1. Serve as the Chief Technology Officer for the Department of Defense.
- 4.2. Develop the strategies and supporting plans that exploit technology and prototypes to respond to the needs of the Department of Defense and ensure U.S. technological superiority.
- 4.3. Conduct analyses and studies; develop policies; provide technical leadership, oversight and advice; make recommendations; and issue guidance for the DoD R&E plans and programs.
- 4.4. Recommend approval, modification, or disapproval of programs and projects of the Military Departments and other DoD Components in assigned fields to eliminate unpromising or unnecessarily duplicative programs, and initiation or support of promising ones for R&E.
- 4.5. Actively participate in the Planning, Programming, Budgeting, and Execution process by providing guidance throughout budget development, and:
 - 4.5.1. Oversee a process, that includes the DoD Components, as appropriate, to identify critical technology areas. Provide input into the Defense Planning Guidance and Transformation Planning Guidance concerning these critical technology areas and overall content of the R&E Program, consistent with a capabilities-based planning approach.
 - 4.5.2. In coordination with the DoD Components, develop the Technology Planning Guidance for the Secretary of Defense's approval early in the budget

preparation cycle. The Technology Planning Guidance shall outline programmatic investment priorities consistent with DoD policy and DoD Component transformational objectives.

4.5.3. Recommend, through the USD(AT&L) to the Secretary of Defense, appropriate funding levels for R&E.

4.5.4. Represent the R&E Program as a member of the Program Review Group or equal management structure during the Program Review.

4.5.5. Recommend, through the USD(AT&L) to the Under Secretary of Defense (Comptroller) (USD(C))/Chief Financial Officer (CFO), resource and programmatic adjustments to the Budget Estimate Submission for the Presidents Budget Request on specific R&E programs and technology areas to meet military goals and objectives, as determined by the Chairman of the Joint Chiefs of Staff and the Secretaries of the Military Departments.

4.5.6. Advise the Secretary of Defense whether the Presidents Budget Request meets the Department's goals and objectives and is the best allocation of resources for R&E. If not, identify reallocations required to achieve the desired results.

4.6. Oversee matters associated with R&E at DoD laboratories operated by the Military Departments or other DoD Components.

4.7. Promote coordination, cooperation, and mutual understanding of R&E within the Department of Defense and between the Department of Defense and other Federal Agencies and the civilian community.

4.8. Ensure R&E interchange with Allied and friendly nations, in coordination with the Under Secretary of Defense for Policy, the USD(AT&L), and the Military Departments.

4.9. Provide support to the Defense Technology Security Administration on technological issues pertaining to international acquisition and export activities.

4.10. In cooperation with the Deputy Under Secretary of Defense for Acquisition and Technology, provide advice and assistance in developing policies for rapid technology transition.

4.11. Develop and maintain an R&E metrics program to measure and assess the quality and progress for the Department of Defense's R&E program.

4.12. Provide specific technical evaluation of DoD Component R&E Special Access Programs, as directed by the USD(AT&L) and in coordination with the OUSD(AT&L) Director, Special Programs.

4.13. Provide technical support to the USD(AT&L) on:

4.13.1. R&E aspects of programs subject to review by the Defense Acquisition Board, to include conduct of a complete assessment of technology readiness consistent with DoD Instruction 5000.2 (reference (d)); and

4.13.2. R&E matters pertaining to maintenance of a strong defense industrial base.

4.14. Serve on boards, committees, and other groups pertaining to the DDR&E's functional areas, and represent the Secretary of Defense, the Deputy Secretary of Defense, and the USD(AT&L) on DDR&E matters outside the Department of Defense.

4.15. Carry out such other functions and responsibilities as the Secretary and Deputy Secretary of Defense, or the USD(AT&L), may direct.

5. RELATIONSHIPS

5.1. In the performance of assigned functions and responsibilities, the DDR&E shall:

5.1.1. Serve under the authority, direction, and control of the USD(AT&L) in accordance with DoD Directive 5134.1 (reference (e)).

5.1.2. Exercise authority, direction, and control over the Director of the Defense Advanced Research Projects Agency.

5.1.3. Use existing facilities and services of the Department of Defense and other Federal Agencies, whenever practicable, to avoid duplication and to achieve an appropriate balance among modernization, readiness, sustainability, efficiency, and economy.

5.1.4. Coordinate and exchange information with other OSD officials, the Heads of the DoD Components, and Federal officials having collateral or related functions.

5.2. The USD(C)/CFO shall coordinate with the DDR&E prior to approving the transfer or reprogramming of funds into or from a program supported by funds from Budget Activities 1 through 4.

5.3. Other OSD officials and the Heads of the DoD Components shall coordinate with the DDR&E on all matters related to the responsibilities and functions cited in section 4., above.

6. AUTHORITIES

The DDR&E is hereby delegated authority to:

6.1. Issue DoD Instructions, DoD Publications, and one-time directive-type memoranda, consistent with DoD 5025.1-M (reference (f)), that implement policy approved by the Secretary of Defense in assigned fields of responsibility. Instructions to the Military Departments shall be issued through the Secretaries of the Military Departments. Instructions to the Combatant Commands shall be communicated through the Chairman of the Joint Chiefs of Staff.

6.2. Obtain reports and information, consistent with the policies and criteria of DoD Directive 8910.1 (reference (g)), as necessary, to carry out assigned functions.


6.3. Communicate directly with the Heads of the DoD Components, as necessary to carry out assigned functions, including the transmission of requests for advice and assistance. Communications to the Military Departments shall be transmitted through the Secretaries of the Military Departments, their designees, or as otherwise provided in law or directed by the Secretary of Defense in other DoD issuances. Communications to the Commanders of the Combatant Commands, except in unusual circumstances, shall be transmitted through the Chairman of the Joint Chiefs of Staff.

6.4. Communicate with other Federal Agencies, representatives of the Legislative Branch, members of the public, and representatives of foreign governments, as appropriate, in carrying out assigned functions.

6.5. Establish arrangements for DoD participation in those non-defense governmental programs for which the DDR&E has been assigned primary cognizance.

7. EFFECTIVE DATE

This Directive is effective immediately.



Paul Wolfowitz
Deputy Secretary of Defense

Enclosures - 1

E1. References, continued

E1. ENCLOSURE 1

REFERENCES, continued

- (e) [DoD Directive 5134.1](#), "Under Secretary of Defense for Acquisition, Technology, and Logistics," April 21, 2000
- (f) [DoD 5025.1-M](#), "DoD Directives System Procedures," March 5, 2003
- (g) [DoD Directive 8910.1](#), "Management and Control of Information Requirements," June 11, 1993